

12/18/01

11332 U.S. PTO

Please type a plus sign (+) inside this box

PTO/SB/05 (03-01)
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|------------------------|---|
| Attorney Docket No. | 200108 |
| First Inventor | Jing Zhao |
| Title | Solid-State Optical Wavelength Switches |
| Express Mail Label No. | |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 24]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
5. Oath or Declaration [Total Pages 2]
 - a. ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
 - b. ☐ (for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information: Examiner _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label ☒ Correspondence address below
(Insert Customer No. or Attach bar code label here)

| | | | | | |
|---------|----------------|-----------|----------------------|----------|--------------|
| Name | Jing Zhao | | | | |
| Address | 13 Henshaw St. | | | | |
| City | Woburn | State | MA | Zip Code | 01801 |
| Country | USA | Telephone | 781-933-0513 ext.201 | Fax | 781-933-0530 |

| | | | |
|-------------------|-----------|-----------------------------------|-------------------|
| Name (Print/Type) | Jing Zhao | Registration No. (Attorney/Agent) | |
| Signature | | Dat | December 11, 2001 |

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 370

Complete if Known

Application Number

Filing Date

December 11, 2001

First Named Inventor

Jing Zhao

Examiner Name

Group Art Unit

Attorney Docket No.

200108

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

Deposit
Account
Name

☐ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee

Code (\$) Code (\$) Code (\$) Code (\$)

| Fee Code | Large Entity (\$) | Small Entity (\$) | Fee Description |
|----------|-------------------|-------------------|------------------------|
| 101 | 740 | 201 | Utility filing fee |
| 106 | 330 | 206 | Design filing fee |
| 107 | 510 | 207 | Plant filing fee |
| 108 | 740 | 208 | Reissue filing fee |
| 114 | 160 | 214 | Provisional filing fee |

Fee Paid

370

SUBTOTAL (1) (\$ 370

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | -20** = | X | = |
| Multiple Dependent | -3** = | X | = |

Large Entity Small Entity

Fee Fee Fee Fee

Code (\$) Code (\$) Code (\$) Code (\$)

| Fee Code | Large Entity (\$) | Small Entity (\$) | Fee Description |
|----------|-------------------|-------------------|--|
| 103 | 18 | 203 | Claims in excess of 20 |
| 102 | 84 | 202 | Independent claims in excess of 3 |
| 104 | 280 | 204 | Multiple dependent claim, if not paid |
| 109 | 84 | 209 | ** Reissue independent claims over original patent |
| 110 | 18 | 210 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

*br number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large
Entity

Small
Entity

Fee Fee Fee Fee

Code (\$) Code (\$) Code (\$) Code (\$)

Fee Description

Fee Paid

| Fee Code | Large Entity (\$) | Small Entity (\$) | Fee Description |
|----------|-------------------|-------------------|--|
| 105 | 130 | 205 | Surcharge - late filing fee or oath |
| 127 | 50 | 227 | Surcharge - late provisional filing fee or cover sheet |
| 139 | 130 | 139 | Non-English specification |
| 147 | 2,520 | 147 | For filing a request for ex parte reexamination |
| 112 | 920* | 112 | Requesting publication of SIR prior to Examiner action |
| 113 | 1,840* | 113 | Requesting publication of SIR after Examiner action |
| 115 | 110 | 215 | Extension for reply within first month |
| 116 | 400 | 216 | Extension for reply within second month |
| 117 | 920 | 217 | Extension for reply within third month |
| 118 | 1,440 | 218 | Extension for reply within fourth month |
| 128 | 1,960 | 228 | Extension for reply within fifth month |
| 119 | 320 | 219 | Notice of Appeal |
| 120 | 320 | 220 | Filing a brief in support of an appeal |
| 121 | 280 | 221 | Request for oral hearing |
| 138 | 1,510 | 138 | Petition to institute a public use proceeding |
| 140 | 110 | 240 | Petition to revive - unavoidable |
| 141 | 1,280 | 241 | Petition to revive - unintentional |
| 142 | 1,280 | 242 | Utility issue fee (or reissue) |
| 143 | 460 | 243 | Design issue fee |
| 144 | 620 | 244 | Plant issue fee |
| 122 | 130 | 122 | Petitions to the Commissioner |
| 123 | 50 | 123 | Processing fee under 37 CFR 1.17(q) |
| 126 | 180 | 126 | Submission of Information Disclosure Stmt |
| 581 | 40 | 581 | Recording each patent assignment per property (times number of properties) |
| 146 | 740 | 246 | Filing a submission after final rejection (37 CFR § 1.129(a)) |
| 149 | 740 | 249 | For each additional invention to be examined (37 CFR § 1.129(b)) |
| 179 | 740 | 279 | Request for Continued Examination (RCE) |
| 169 | 900 | 169 | Request for expedited examination of a design application |

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Name (Print/Type)

Jing Zhao

Registration No.
(Attorney/Agent)

Complete (if applicable)

Telephone

781-933-0513 ext.201

Signature

Date

December 11, 2001

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